

ENVIRONMENTAL PROCEDURES

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EXHIBITS

- Exhibit A Preliminary Environmental Studies Form and Instructions**
- Exhibit B Programmatic Categorical Exclusion for Impact Based Projects**
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1. Overview

Reference:

Local Programs Manual, Volume III

Applicability:

Applies to all Federal Highway Administration (FHWA) funded local agency projects. Does not apply to state highway projects funded by local agencies.

1.1 Existing Procedures:

In the past, Local Agencies were expected to have filled out the Field Review Form and Preliminary Environmental Studies (PES) form in advance of the Field Review, and depending on the project type and potential for impact, Caltrans environmental staff conducted a preliminary drive-through survey of the project area, reviewed current inventories, records, maps and information relevant to the area, and may have consulted with agencies having expertise in the affected environmental elements (water, air, wildlife, plants, etc.) and/or permit or license authority over the proposed project. The local agency, and the District Local Assistance Engineer (DLAE) would then make any necessary revisions to the Field Review Form during the Field Review and if preliminary environmental studies completely supported the conclusion, and met the conditions of the Programmatic Categorical Exclusion (CE), the DLAE would sign a Programmatic CE. In other instances the FHWA Transportation Engineer would attend the field review and a determination could be made regarding environmental studies and level of the environmental document. If it was determined that additional data was required to support a CE determination, the local agency would complete the preliminary studies and submit a CE with studies to the DLAE for review and approval by FHWA.

Caltrans environmental staff attended field reviews and agency and consultant meetings upon request, reviewed environmental elements of consultant agreements and reviewed and commented on the adequacy of local agency environmental documents. Several reviews would often be required prior to Caltrans determining that the format and content of the local agency's environmental document conformed to National Environmental Policy Act (NEPA) and other Federal environmental requirements.

1.2 New Procedures:

Under the new procedures local agencies will be expected to conduct preliminary research, studies and resource agency coordination and provide documentation of the results, as necessary to accurately respond to the questions on the Preliminary Environmental Studies (PES) form (Exhibit A).

The DLAE will coordinate with FHWA and determine what level of involvement is necessary after reviewing the PES and supporting studies, and may call for an on-site visit. The DLAE will limit Caltrans' review of local agency environmental documents to "complete" submittals (including a completed PES form and basic supporting documentation, such as the results of records searches for cultural and biological resources) to support the determination.

The DLAE will decide whether to accept the local agency's preliminary recommendation and approve and process local agency environmental documents to FHWA for review and approval based on their sufficiency for compliance with federal environmental requirements. Coordination with Caltrans' district environmental staff may be necessary given a project's complexity, impacts, and/or its potential for controversy. The DLAE will continue to transmit copies of all determinations, comments or letters of concurrence from and to FHWA (State Historic Preservation Officer [SHPO], Advisory Council on Historic Preservation [ACHP], U.S. Fish and Wildlife Service [FWS], Department of Interior [DOI], Environmental Protection Agency [EPA], etc.), to the local agency.

Caltrans will maintain and update the procedural guidance provided in the Local Programs Manual (LPM). Local agencies should refer to the LPM for much of the existing guidance material and know that it will be updated shortly. More comprehensive guidance, checklists and flowcharts on the preparation and processing of environmental reports and documents by local agencies and their consultants will be available. Caltrans will provide training and will maintain a record of local agency environmental documents for use in tracking compliance. Local agencies will also be responsible for maintaining copies of environmental documents and supporting documentation.

1.3 Obtain Authorization to Proceed

When a local agency desires federal funding assistance for preparing environmental studies and preliminary engineering, it submits a "Request for Authorization" form to the DLAE. The local agency may not proceed with reimbursable activities prior to the project's inclusion in a federally approved Federal Transportation Improvement Program/Federal Statewide Transportation Improvement Program (FTIP/FSTIP) and receipt of "Authorization to Proceed" notification from Caltrans. See Attachment 1, "Project Authorization/Federal Fund Obligation".

1.4 Preliminary Environmental Studies

The local agency will prepare the Preliminary Environmental Study (PES) form after conducting a preliminary site visit to survey the project area, reviewing current inventories, records, maps and information relevant to the area, and consulting with agencies with expertise in the affected environmental elements (water, air, wildlife, plants, etc.) and/or permit or license authority over the proposed project, regarding presence or absence of sensitive resources.

If the DLAE determines that the submittal is complete and sufficient, and concurs with the studies to be performed and the recommended level of environmental document, the DLAE will sign the PES form.

2. NEPA Process

2.1 Categorical Exclusion

Programmatic Categorical Exclusion

a. Impact-Based Programmatic Categorical Exclusion

On September 7, 1990 Caltrans and FHWA concurred in advance with the classification of those types of Categorical Exclusions (CEs), identified in 23 CFR 771.117(d), with no environmental impacts.

The DLAE is responsible for certifying that all conditions, identified in the Programmatic Agreement, provided at Exhibit B, are satisfied for each project processed under this Agreement. The certification will be based on the preliminary recommendations and supporting documentation provided by the local agency.

The local agency must continue to verify that all conditions, identified in the Programmatic Categorical Exclusion have been met, and there must be information in the project file to support the determination.

For federal aid programming the following notation should appear on the FNM-76 in the Environmental Status block: "Programmatic Cat. Exclusion, September 7, 1990".

b. Programmatic Categorical Exclusion for Seismic Safety Projects

On February 5, 1990 Caltrans and FHWA approved a Programmatic Categorical Exemption/Exclusion for seismic safety retrofit projects. Although it covers the majority of the retrofit work, it is applicable only to installations meeting the criteria shown on the form provided at Exhibit C.

The DLAE and the local agency must continue to verify that the Categorical Exemption/Categorical Exclusion (CE/CE) is appropriate, and there must be information in the project file to support the determination. In many cases this only needs to be structure photos and a notation from the field review.

This determination does not apply to those installations in the seismic safety retrofit project that do not fit the proposal description and purpose, or that involve direct work in wetlands or historic properties (including historic bridges that are in Categories 1 to 4 of Caltrans Bridge Inventory as eligible, listed, or potentially eligible for the National Register). For such properties, an individual categorical exclusion or the appropriate environmental document will be processed.

For federal aid programming the following notation should appear on the FNM-76 in the Environmental Status block: "Cat. Exclusion, seismic retrofit, February 5, 1990".

At the close of each fiscal year the local agency shall provide the DLAE with a list of projects approved under the Programmatic Categorical Exclusion agreement, for transmittal to FHWA.

Another agreement providing for the expeditious fulfillment of the requirements under Section 106, is the March 21, 1995 "Programmatic Agreement Regarding the Seismic Retrofit of Bridge Structures in California". NOTE: Additional assistance from the Caltrans Environmental, Cultural Resource Specialists, will be required when utilizing this agreement..

Processing Programmatic Categorical Exclusions

If preliminary environmental studies completely support the conclusion, the local agency will sign the Programmatic CE form (Exhibit D) declaring that conditions of the Programmatic CE have been met, submit the PES form and supporting information to the DLAE and request approval.

The DLAE will decide whether to approve the documents based on consideration of the following criteria:

- The type and location of project and its potential effects.
- "Complete" and sufficient submittals (complete PES form with supporting documentation--letters from resource and regulatory agencies and results of record searches) to support the determination.
- Process reviews of local agency's prior performance.
- Experience of local agency staff/consultants.

In some cases, an on-site environmental review and/or an office meeting may be necessary to support the conclusion. The DLAE will indicate approval by signing the Programmatic CE form. When the local agency submits a "Request for Authorization" for new phases of work, the local agency will enter the appropriate coding and date under "Environmental Data." See Attachment 1, "Project Authorization/Federal Fund Obligation.."

Incomplete documentation will be returned to the project sponsor.

CE Determination by the FHWA with Studies

If it is determined that additional data is required to support a CE determination, the local agency will complete the necessary studies, sign the CE form, declaring that CE conditions have been met, and submit the PES form and supporting information to the DLAE for concurrence and transmittal to the FHWA for approval.

The DLAE will decide whether to concur with the local agency's recommended CE determination based on the same criteria shown above. If the DLAE determines that an on-site review is necessary, it will be coordinated with the local agency and FHWA.

The FHWA will acknowledge approval by signing the Categorical Exclusion and the DLAE will notify the agency. When the local agency submits a "Request for Authorization" for new phases of work, the local agency will enter appropriate coding and date of FHWA approval of the CE under "Environmental Data." See Attachment 1, "Project Authorization/Federal Fund Obligation".

2.2 Environmental Assessment (EA)

When it is not clear whether the project will result in significant impacts under NEPA or involve significant controversy, the local agency will arrange for a preliminary meeting with the DLAE and the FHWA and following the meeting will prepare and submit the completed draft EA and supporting studies to the DLAE for concurrence and transmittal to the FHWA.

In instances where numerous environmental issues have been identified and several reports and resource and regulatory agency approvals are required to bring about the environmental document, an office meeting or consultation with the district's environmental branch and the FHWA may be necessary to determine the scope and timing of studies to be performed, and the various methods for interrelating special studies with the NEPA environmental process.

If the proposal will not have a significant environmental effect the local agency will sign the document and submit the draft EA to the DLAE for concurrence and transmittal to the FHWA for approval for public availability.

The DLAE will review the document for completeness and decide whether to concur with the assessment based on the same criteria shown above. Incomplete documentation will be returned to the project sponsor.

If complete and sufficient, the DLAE will sign the draft EA cover sheet and forward the completed draft EA and supporting studies to the FHWA for review and approval for public availability.

If the FHWA determines that deficiencies exist, the DLAE will notify the local agency.

If in agreement with the scope and content, the FHWA Division Administrator will sign the title page to the draft EA. Approval may be subject to revisions being made by the local agency prior to circulation. The FHWA will return the signed title page and draft EA to the DLAE for transmittal to the local agency.

The local agency will initiate public circulation of the draft EA and, following public involvement, will respond to all comments and prepare the Final EA. If the Final EA indicates that proposal will not have a significant environmental effect, the local agency will submit the record of public comments and responses, and a request for a Finding of No Significant Impact (FONSI), to the DLAE for concurrence and transmittal to the FHWA.

Upon FHWA approval of the FONSI, the DLAE will notify the agency.

Prior to submitting a "Request for Authorization" for new phases of work, the local agency will enter the appropriate coding and the date the FHWA signed the FONSI, under "Environmental Data." See Attachment 1, "Project Authorization/Federal Fund Obligation."

2.3 Environmental Impact Statement (EIS)

When it is determined that a proposal may have a significant environmental effect the local agency will arrange for a preliminary meeting with the DLAE and the FHWA and following the meeting will prepare and submit a draft Notice of Intent (NOI) to the DLAE for transmittal to the FHWA for publication in the Federal Register.

Following publication in the Federal Register, the local agency will arrange for a scoping meeting and prepare and submit the completed DEIS and supporting studies to the DLAE for concurrence and transmittal to the FHWA.

The DLAE will decide whether to accept the draft EIS based on a review, of the format and content of the DEIS, for conformance with NEPA and its implementing federal regulations.

The DLAE will sign and transmit the original title page and the completed DEIS and two (2) copies of the related technical studies (noise, hydraulics, geo-technical, biological, socio-economic, cultural, etc.) to the FHWA Division Administrator for review and approval for public availability. If in agreement with the scope and content of the DEIS, the FHWA Division Administrator will sign the title page to the DEIS. Approval may be subject to revisions being made by the local agency prior to circulation. The FHWA will return the signed title page and DEIS to the DLAE for transmittal to the local agency.

The local agency will initiate public circulation of, and hold a public hearing on, the DEIS, and, following public involvement, will respond to all comments, and prepare the FEIS.

The local agency will sign the title page of the FEIS and forward the completed FEIS, record of public involvement and draft Record of Decision (ROD) to the DLAE for concurrence and transmittal to the FHWA. The DLAE will sign the FEIS title page and forward to the FHWA for approval. The FHWA will return the signed FEIS title page to the DLAE for transmittal to the local agency. The local agency will distribute the FEIS and notify the DLAE. The DLAE will notify the FHWA, who in-turn will notify EPA to place a notice in the Federal Register. The FHWA will prepare, sign and transmit the ROD to the DLAE for forwarding to the local agency. Prior to submitting a "Request for Authorization" for new phases of work, the local agency will enter, under "Environmental Data", the appropriate coding and date of the FHWA's signature on the ROD. See Attachment 1, "Project Authorization/Federal Fund Obligation".

3. Other Federal Environmentally-Related Processes

3.1 Section 4(f) Evaluation (Publicly Owned Park, Recreation Area, Wildlife or Waterfowl Refuge or Land from Historic Sites); Section 106 (Cultural Resources & Historic Properties); Section 7 (Endangered Species); E.O. 11990 (Wetlands); E.O.11998 (Floodplains)

The local agency will evaluate the proposed action and determine whether any of the federal environmentally-related processes are applicable.

The local agency, or their consultant, will review current inventories and relevant information and coordinate with appropriate resources and regulatory agencies, except for consultations for which the FHWA is responsible (i.e., SHPO, ACHP, formal Section 7 consultation with USFWS).

If it is anticipated that the project may need an "Individual Section 404 Permit" the local agency should notify the DLAE and consult the NEPA/404 MOU as early as possible to * conformity.

The local agency will develop an Area of Potential Effect (APE) map for Section 106 purposes and other survey area maps as necessary to complete the studies and may notify the DLAE and request a study scoping meeting. The DLAE, in consultation with the FHWA, will determine whether the FHWA will be present at the study scoping meeting. The FHWA will approve the APE. The local agency will prepare all reports (containing their findings) and submit the appropriate number of copies of each report to the DLAE for transmittal to FHWA.

The DLAE will decide whether to "concur" with each of these reports, and transmit the documents, based on consideration of the following criteria:

- The type and location of project.
- "Complete" and sufficient submittals (Historic Property Survey Report, Biological Report, Wetland Report, Section 4(f), Noise, etc., containing letters from resource and regulatory agencies) to support the determination.
- Consultation with the FHWA Transportation Engineer or the District environmental staff.
- Process reviews of the local agency's prior performance.
- Experience of the local agency staff/consultants.

The FHWA will review the reports, consult with responsible and regulatory agencies as required, and submit a letter to the DLAE, indicating concurrence with the local agency's findings, or identifying deficiencies.

The DLAE will forward the FHWA response, and copies of any resource and regulatory agency responses to the FHWA, to the local agency.

The local agency will include copies of resource and regulatory agency letters in the environmental document.

4. Other Considerations

4.1 Permits

The local agency will obtain all necessary permits (404 Permit, Coast Guard Bridge Permit, 1601/03) prior to advertisement for construction.

4.2 PS&E

The local agency will certify that all required mitigation has been completed and/or is included in the final PS&E and that any required ongoing maintenance of mitigation is implemented.

The DLAE will assure that mitigation measures and any required ongoing maintenance of mitigation are implemented by conducting periodic process reviews.

4.3 PS&E and Construction

The local agency will implement mitigation measures. The local agency will check plans in the field to determine if all environmental commitments have been incorporated.

In advance of any commitment, the local agency will notify the DLAE of any significant change in project scope, impacts or mitigation which may compel environmental re-evaluation.

The DLAE will notify the FHWA of any significant change in project scope, impacts or mitigation and the FHWA will determine if additional environmental studies will be required or if any mitigation agreements will require modification. If so, the local agency will request reconsultation/reevaluation immediately.

5. Process Review

Caltrans will conduct process reviews of local agency procedures for preparing environmental documents and backup reports and for ensuring that all environmental commitments have been incorporated in construction.

6. DLAE & Local Agency Training

Caltrans will provide notifications of training opportunities to the DLAE and local agencies and their consultants via training programs available through FHWA, ACOE, USFWS, NHI, USEPA, universities and colleges, professional societies and private interest groups.

Instructions for Completing the
Preliminary Environmental Studies Form

When a local agency desires Federal funding assistance for preparing environmental studies and preliminary engineering, the local agency will submit a "Request for Authorization" form to the DLAE. The local agency may not proceed with reimbursable activities prior to the projects inclusion in a federally approved TIP and receipt of "Authorization to Proceed" notification from Caltrans.

The local agency will prepare the Preliminary Environmental Study (PES) form after conducting a site visit of the project area, reviewing current inventories, records, maps and information relevant to the area, and consulting with agencies with expertise in the affected environmental elements (water, air, wildlife, plants, etc.) and/or permit or license authority over the proposed project.

Agency (Dist-Co-Rte-Agency): _____ **Example:** 03-BUT-99-Butte Co

Project Number (Federal Program Abbreviation - Route): _____

Project Location **Example:** Located within City of Chico or 3 miles west of the City of Chico on Route 65.

Project Description (Briefly describe major components of the proposed work)

Example: Widening and signals or overlay. Indicate the length of the project to the nearest one-tenth of a mile. If the project is a spot location, use 0.1 mile.

A. The Physical Environment:

The following sources of information should be consulted prior to answering Questions 1-33 or before checking "**NO**" **potential effect** (direct or indirect) on the following environmental attributes:

1. **Noise:** Consult 23 CFR 772.5(h); to determine if this is a Type 1 project; "construction on new location or the physical alteration of an existing highway which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes".
2. **Noise:** If "Yes" or "To Be Determined" is answered for Question #1, consult 23 CFR 772, Table 1, to determine if the project will result in predicted traffic noise levels that approach or exceed the noise abatement criteria, or if the predicted traffic noise levels will substantially exceed existing noise levels?
3. **Noise:** (Pile driving, structure demolition, blasting, etc.) Consider construction activities and techniques.
4. **Water Quality:** Consider project runoff, roadside drainage and proximity to water courses.
5. **Sole-Source Aquifer:** Consider if your project is located in or near one of the three sites in California that have been designated as sole-source aquifers; one in Fresno County; the Santa Margarita Aquifer in Scotts Valley, Santa Cruz County; and the Campo/Cottonwood Creek Aquifer in Butte County. A fourth site, the Ocotillo Coyote Wells Aquifer in Imperial County is proposed for designation. Environmental Protection Agency (EPA; S.F. Regional Office)
6. **Coastal Zone:** Check State Coastal Zone Management Program (CZMP) Plan or consult State Coastal Zone Management Agency.
7. **100-year Floodplain:** Review Federal Emergency Management Agency (FEMA) maps and National Flood Insurance Program (NFIP) maps, available from public libraries, State Department of Water Resources, city and county flood control managers or public works departments.

8. **Wild and Scenic Rivers:** Consider proximity of project to the Tuolumne, American, Middle Fork of the Feather, Smith, Klamath, Trinity and Eel Rivers, as portions of these rivers are currently classified under this designation (Note: Designation protects river and a 0.25-mile corridor from development).
9. **Federally-Threatened or Endangered Species:** Request list of occurrences and significant natural areas from the Department of Fish and Game (CDFG) California Natural Diversity Database (CNDDB) California, prior to answering this question.
10. **Wetlands:** Consult National Wetland Inventory (NWI) maps, available through the appropriate Natural Resource Conservation Service (NRCS) field office(s).
11. **Special Aquatic Sites or Greater than Five Acres of Other Waters:** If your project will impact special aquatic sites or greater than five acres of other waters of the U.S., and thereby require an Individual Section 404 Permit, notify the DLAE as early as possible to consult, and conform to, the provisions of the Memorandum of Understanding National Environmental Policy Act and Clean Water Act Section 404 Integration Process for Surface Transportation Projects in Arizona, California, and Nevada (fully executed spring 1994 by the U.S. Army Corps of Engineers, FWS, NMFS, EPA, FHWA, FTA Caltrans, Arizona DOT, Nevada DOT). AKA NEPA/404 MOU.
12. **Agricultural Wetlands:** Consult the appropriate National Resources Conservation Service field office for delineation and verification of agricultural wetlands. (Note: The U.S. Army Corps of Engineers remains the agricultural wetlands point for Section 404 Permits).
13. **Air Quality Conformity:** Confirm that your project is in a Federally-approved FTIP.
14. **National Ambient Air Quality (NAAQ) Standards:** Coordination with FHWA may be required to determine if the project will result in localized exceedances in the National Ambient Air Quality (NAAQ) Standards .
15. **Prime or Unique Farmlands:** Consult the appropriate Natural Resources Conservation Service field office for verification of prime and unique farmlands. Any conversions to non-agricultural use will require coordination with the U.S. Army Corps of Engineers.
16. **Hazardous Waste Sites including Underground Tanks?** Consider field observations of existing land uses. Coordinate with appropriate local and state agencies as indicated on the PES form.
17. **Modify River, Lake:** Consider for all bridge projects and any project near, in, or around water. When it appears that a project might require an Individual Section 404 Permit, the Local agency should notify the DLAE as early as possible to consult, and conform to, the provisions of the NEPA/404 MOU.
18. **Section 4(f) Parklands:** Field observation. If necessary, talk with local, regional and state park staff to confirm ownership.
19. **Section 6(f):** Check with the Federal Land and Water Conservation Fund (LCWF) program of the National Park Service, Department of the Interior, administered through the California Department of Parks and Recreation.
20. **Visual:** Consider scenic attributes. Observation project site and consider proposed construction management practices (large cut or fill area). When determining light and glare impacts, consider short and long term.
21. **Light, Glare and Shadows:** Consider project construction, operation and maintenance.
22. **Right of Way:** Consider construction easements and utility relocations and partial or full takes of right-of-way. Attach description (including total acreage and ownership) for all "Yes" and "To Be Determined" answers.
23. **Displace Business and Residences:** Field Observations, Visual Inspection, Economic Reports.

24. **Divide or Disrupt an Established Community:** Field Observations, Visual Inspection, Census.
25. **Minority or Low Income Community:** Presidential E.O. 12898 on Environmental Justice requires Federal agencies to assure that their actions do not result in disproportionate adverse environmental impacts on minority or low-income. Consult the Census.
26. **Induce growth:** Consider type, scope and location of project.
27. **Consistent with Community Plans:** Check General Plan or Community Plan
28. **Public services:** Consider police, fire, ambulance services during construction.
29. **Access Control:** Consider type, scope and location of project.
30. **Local traffic patterns:** Consider during construction, operation and maintenance of proposed facility.
31. **Parking:** Consider parking needs during and after construction. Is parking a controversial issue in your community?
32. **Future Construction:** Consider whether the project will necessitate the upgrade of an adjoining or connecting facility in the near future.
33. **Public Controversy:** Consider environmental, traffic, community support, political--Is your community mass transit oriented?
34. **Construction Impacts:** Consider water quality, erosion control, noise, dust, parking, traffic control, night time work.
35. **Historic Properties:** Check with FHWA prior to requesting any information from the SHPO, or the Regional Archaeological Clearinghouses. A review of bridge lists and general requests for information from local historians or Local Historical Societies may be completed by the Local agency and/or their consultant.

Sections C, D, & E:

Indicate which studies will be required based on those questions where a "YES" or "TO BE DETERMINED" answer was checked. Check the required study and indicate if coordination or permits and approvals will be required.

Section F:

Indicate if a Public Hearing or Public Availability will be required.

Section G:

Indicate the type of environmental document which will be prepared.

NOTE: For all "YES" and "TO BE DETERMINED" answers, early coordination between DLAE, FHWA and the Local agency should be undertaken to insure proper agency coordination and appropriate scope of study.

PRELIMINARY ENVIRONMENTAL STUDIES FORM
(Attachment to Preliminary Information Form)

Agency (Dist-Co-Rte-Agency): _____
Project Number (Federal Program Abbreviation - Route): _____
Project Location: _ _____
Project Description: _ _____

EXAMINE FOR POTENTIAL EFFECTS ON THE ENVIRONMENT, DIRECT OR INDIRECT, AND
ANSWER THE FOLLOWING QUESTIONS

A. The Physical Environment	<u>Yes</u>	<u>To Be Determined</u>	<u>No</u>
1. Is the project a Type I project as defined in 23 CFR 772.5(h); "construction on new location or the physical alteration of an existing highway which significantly changes either the horizontal or vertical alignment or increases the number of through-traffic lanes."	_____	_____	_____
2. If yes, will the project result in predicted traffic noise levels that approach or exceed the noise abatement criteria (23 CFR 772, Table 1) or will the predicted traffic noise levels substantially exceed the existing noise levels?	_____	_____	_____
3. Will the project involve substantial construction noise due to pile driving, structure demolition, blasting, etc?	_____	_____	_____
4. Will project adversely affect water quality?	_____	_____	_____
5. Is project within a designated sole-source aquifer?	_____	_____	_____
6. Is it within or does it involve a coastal zone?	_____	_____	_____
7. Will the project encroach on the base (100 year) flood plain?	_____	_____	_____
8. Will the project affect the Wild and Scenic River System?	_____	_____	_____
9. Will the project affect Federally-listed, threatened, or endangered species (including candidate species) or modify critical or sensitive habitat?	_____	_____	_____
10. Will the project involve the destruction or modification of wetlands?	_____	_____	_____
11. Will the project impact "special aquatic sites", or impact greater than five acres of other waters of the U.S. and thereby require an individual Section 404 permit and NEPA/404 Merger MOU coordination?	_____	_____	_____
12. Will the project affect any agricultural wetland?	_____	_____	_____
13. Does the Federally approved Transportation Improvement Program (FTIP) include the project?	_____	_____	_____
14. Will the project result in localized exceedances in National Ambient Air Quality (NAAQ) standards?	_____	_____	_____

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Reengineering
Preliminary Environmental Studies Form & Instructions

Exhibit A
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Agency: _____ Project Number _____

	<u>Yes</u>	<u>To Be Determined</u>	<u>No</u>
15. Will the project impact any prime or unique farmlands?	_____	_____	_____
16. Will the project involve hazardous waste sites including underground tanks?	_____	_____	_____
17. Will the project modify or alter the channel of a river, stream, bay, inlet or lake?	_____	_____	_____
18. Will the project use land from a public owned park land, recreation area, wildlife or waterfowl refuge [Section 4(f)]?	_____	_____	_____
19. Were Federal Land and Water Conservation funds used in the development of the local park [Section 6(f)(3)]?	_____	_____	_____
20. Will the project involve large cuts or fill areas or large structures, resulting in visual impacts on scenic areas?	_____	_____	_____
21. Will the project produce light, glare or shadows?	_____	_____	_____
22. Will the project require any right-of-way, including partial or full takes? Consider construction easements and utility relocations. Attach description (including total acreage and ownership) for all "Yes" and "To Be Determined" answers.	_____	_____	_____
23. Will the project displace businesses and residences?	_____	_____	_____

B. The Social and Economic Environment

24. Will the project divide or disrupt an established community?	_____	_____	_____
25. If so, is the community a minority or low-income community?	_____	_____	_____
26. Will the project induce unplanned growth?	_____	_____	_____
27. Is the project inconsistent with plans and goals adopted by the community?	_____	_____	_____
28. Will the project result in the need for public services, including utilities other than those presently available or proposed?	_____	_____	_____
29. Will the project involve changes in access control?	_____	_____	_____
30. Will project change local traffic patterns?	_____	_____	_____
31. Will the project significantly reduce available parking?	_____	_____	_____
32. Will the project require future construction to fully utilize the design capabilities included in the proposed project?	_____	_____	_____

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33. Will the project generate public controversy based on environmental effects?

34. Will the project result in significant construction impacts?

35. Will the project involve National Register listed or potentially eligible historic properties [Section 106, Section 4(f)]?

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Exhibit A
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DATA AS REQUIRED TO SUPPORT THE CONCLUSIONS OF THIS CHECKLIST SHOULD BE
 ATTACHED OR AVAILABLE FROM THE LOCAL AGENCY UPON REQUEST
 (Check to Indicate Required Studies, Coordination, Permits or Approvals)

C.	REQUIRED STUDIES	D.	COORDINATION	E.	PERMIT/APPROVALS
<input type="checkbox"/>	NOISE STUDY	___	FHWA		
<input type="checkbox"/>	WATER QUALITY STUDY * ___ Discharge Dredged/Fill material (US waters) ___ Construction in Navigable Waters ___ Construction of Bridges/Causeways Across Navigable Waters ___ Construction of Bridge ___ Stream or Lake Alteration	___	FHWA U.S. Army Corp of Engineers U.S. Army Corp of Engineers U.S. Coast Guard California Regional Water Quality Control Board California Department of Fish & Game	___	Section 404 Permit Section 10 Permit Approves Plans Water Quality Certification Section 1601/03 Permit
<input type="checkbox"/>	SOLE SOURCE	___	EPA (S.F. Regional Office)	___	Contamination Threat
<input type="checkbox"/>	COASTAL ZONE	___	National Oceanic & Atmospheric Administration	___	Coastal Zone Consistency
<input type="checkbox"/>	FLOODPLAIN RISK ASSESSMENT	___	Federal Emergency Management Agency FHWA		
<input type="checkbox"/>	WILD & SCENIC RIVERS	___	U.S. Department of Interior Heritage Conservation/Recreation Service		
<input type="checkbox"/>	BIOLOGY STUDY *	___	FHWA California Department of Fish & Game	___	Sec 7 Biological Opinion Incidental Take Permit
<input type="checkbox"/>	WETLANDS STUDY * Agricultural Wetlands	___	FHWA U.S. Fish & Wildlife U.S. Army Corp of Engineers National Marine Fisheries Service Natural Resources Conservation Service	___	Verifies juris. wetlands Verifies agri. wetlands
<input type="checkbox"/>	AIR QUALITY STUDY *	___	FHWA		
<input type="checkbox"/>	FARMLANDS	___	Natural Resources Conservation Service	___	Verifies prime/unique

* FHWA has responsibility for consultation under regulation or inter-agency agreement.

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C.	REQUIRED STUDIES	D.	COORDINATION	E.	PERMIT/APPROVALS
<input type="checkbox"/>	HAZARDOUS WASTE STUDY (Cleanup of Hazardous Waste Sites)	___	1. CALIF. EPA; Department of Toxic Substances Control, Biennial Reports, Lists of Active Annual Workplan Sites ___ 2. CALIF. OPR; Hazardous Wastes & Substances Sites List, List of Contaminated Sites ___ 3. LOCAL; Health & Human Services Dept., Hazardous Waste Operations Division		
<input type="checkbox"/>	SECTION 4(f) EVALUATION *	___	FHWA ___ Public Official w/ Jurisdictional Responsibility.		
<input type="checkbox"/>	SECTION 6(f) EVALUATION	___	Park Official ___ DOI		
<input type="checkbox"/>	AESTHETICS	___	FHWA		
<input type="checkbox"/>	RELOCATION IMPACTS STUDY	___	State & Local Planning Departments		
<input type="checkbox"/>	SOCIO-ECONOMIC EVALUATION	___	Airports, Schools, State and Local Planning Departments		
<input type="checkbox"/>	SECTION 106/HISTORIC PRESERVATION* ___ APE Map ___ Archaeological Field Survey ___ National Register Records Search ___ Historic Architectural Evaluation (including bridges)	___	FHWA ___ State Historic Preservation Officer		
<input type="checkbox"/>	CONSTRUCTION/ENCROACH ON STATE LANDS ___ Under State Lands Commission Jurisdiction ___ Under Caltrans Jurisdiction	___	State Lands Commission Caltrans	___	General Permit/Revise General Plans Encroachment Permit
<input type="checkbox"/>	CONSTRUCTION / ENCROACHMENT ON FEDERAL LANDS	___	U.S. Bureau of Reclamation ___ Private Land Owner	___	Encroachment Permit Right of Entry Permit
	Additional studies may be required for other Federal Agencies.				

* FHWA has responsibility for consultation under regulation or inter-agency agreement.

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F. Public Hearing and Public Availability

☐ Not Required
☐ Notices of Availability
☐ Environmental Document ONLY

☐ Opportunity for a Public Hearing
☐ Public Hearing Required

G. Preliminary Environmental Document Classification (NEPA)

Based on the evaluation of the project, the environmental document to be developed should be:

☐ Environmental Impact Statement
☐ Environmental Assessment
☐ Categorical Exclusion with Special Studies noted in "C Section" of form
☐ Programmatic Categorical Exclusion

Signature local agency: _____ Date: _____

I have reviewed this Preliminary Environmental Study (PES) form and determined that the submittal is complete and sufficient. I concur with the studies to be performed and the recommended level of environmental document.

Signature DLAE: _____ Date: _____

Signature FHWA: _____ Date: _____

PROGRAMMATIC CATEGORICAL EXCLUSION

The California Department of Transportation (Caltrans) and the Federal Highway Administration (FHWA) concur in advance with the classification of those types of Categorical Exclusions (CE's), identified in 23 CFR Part 771.117(d) with no environmental impacts. Caltrans certifies that all the conditions indicated in this blanket classification will be satisfied for all of the projects processed under this programmatic classification and approval process.

Additional actions which qualify as CEs under 23 771.117(d), and which meet the criteria of 23 771.117(a), may be designated as CEs upon the submission of documentation which demonstrates that the specific conditions of criteria for those CEs are satisfied, and that significant environmental impacts will not result.

The following conditions will apply to those actions which qualify fun 23 CFR 771.117(d) that are processed by Caltrans under this programmatic approach. If one or more of the following conditions are not satisfied, separate environmental documentation which demonstrates that the specific conditions or criteria impacts will not result will be submitted to the FHWA to support the classification.:

1. The action does not have any significant environmental impacts as described in 23 CFR 771.117(a);
2. The action does not involve unusual circumstances as described in 23 CFR 771.117(b);
3. The action does not involve the following:
 - a. The acquisition of more than minor amounts of temporary or permanent strips of right-of-way for construction of such items as clear vision corners and grading. Such acquisitions will not require any commercial or residential displacements.
 - b. The use of properties protected by Section 4(f) of the Department of Transportation Act (49 U.S.C. 303).
 - c. A determination of adverse effect by the State Historic Preservation Officer.
 - d. Any U.S. Coast Guard construction permits or any U.S. Army Corps of Engineers Section 404 permits [other than nationwide (blanket) permits].
 - e. Any work in wetlands.
 - f. Any work permanently encroaching on a regulatory floodway or any work affecting the base floodplain (100-year) elevations of a water course or lake.

Programmatic Categorical Exclusion

- g. Construction in, across, or adjacent to a river designated as a component or proposed for inclusion in the National System of Wild and Scenic Rivers published by the U.S. Department of the Interior / U.S. Department of Agriculture.
 - h. Any changes in access control.
 - i. The use of a temporary road, detour or ramp closure unless the use of such facilities satisfy the following conditions:
 - (1) Provisions are made for access by local traffic and so posted.
 - (2) Through-traffic dependent business will not be adversely affected.
 - (3) The detour or ramp closure, to the extent possible, will not interfere with any local special event or festival.
 - (4) The temporary road, detour, or ramp closure does not substantially change the environmental consequences of the action.
 - (5) There is no substantial controversy associated with the temporary road, detour, or ramp closure.
 - j. Any known hazardous materials sites or hazardous materials remains within the right-of-way.
- 4. The action conforms to the Air Quality Implementation Plan which is approved or promulgated by the Environmental Protection Agency in air quality nonattainment areas.
 - 5. The action is consistent with the State's Coastal Zone Management Plan.
 - 6. The action does not affect federally listed endangered or threatened species or critical habitat.

All determinations made by Caltrans under this blanket classification will be documented. The documentation will be available for FHWA review upon request.

Programmatic Categorical Exclusion

A list of individual projects classified under this blanket classification will be furnished to the FHWA Division Office prior to final design activities, property acquisition (with the exception of hardship and protective buying), or project construction.

CALTRANS DETERMINATION:

The action to which this determination applies is a Categorical Exclusion.

(original signed by)

Chief, Caltrans Environmental Analysis

9/5/90

Date

FHWA DETERMINATION:

Based on the evaluation of this proposal, it is determined that it meets the criteria of and is properly classified as a Categorical Exclusion.

(original signed by)

FHWA Division Administrator

9/7/90

CATEGORICAL EXEMPTION/CATEGORICAL EXCLUSION DETERMINATION

Seismic Safety Retrofit Project pursuant to Streets and Highways Code Article 4.8

Proposal Description and Purpose: This determination is solely for seismic retrofits of existing publicly owned bridges on the State highway system, city and county, and other public road systems. It includes pedestrian structures and rail transit structures. The work includes deck restrainers which tie superstructure members together and to columns or piers with cables, enlarging or modifying footings for increased capacity, and retrofitting columns with steel sheathing, partial column reconstruction, or similar means. All work is to be performed within existing right-of-way. There will be no change in the overall general structure appearance.

Categorical Exclusion (NEPA)

The action does not have any significant environmental impacts as described in 23 CFR 771.117(a). A project under this proposal does not involve direct work in wetlands or historic properties eligible of the National Register.

Caltrans Determination:

Based on an examination of this proposal, it is determined that it is environmentally exempt, Class 1, Section 1510.1 of Caltrans Environmental Regulations (CEQA), and it is determined to be categorically excluded.

(originally signed by)

Chief, Caltrans Environmental Analysis

1/31/90

Date

FHWA Determination:

Based on the evaluation of this proposal, it is determined that it meets the criteria of and is properly classified as a Categorical Exclusion.

(originally signed by)

FHWA Division Administrator

2/5/90

Date

**REENGINEERING, Attachment 2,
Programmatic Categorical Exclusion/Categorical Exclusion Determination****PROGRAMMATIC CATEGORICAL EXCLUSION
CATEGORICAL EXCLUSION DETERMINATION**

Local agency (Dist.-Co-Route-Agency): _____

Project Number (Fed.Prog.abrev.-Route): _____

Project Location:

Project Description and Purpose: *(Briefly describe proposal, purpose, location, limits, and right-of-way requirements.)* :**RECOMMENDATION**

1. This project does not have a significant effect on the environment as defined by the NEPA.
2. This project does not involve substantial controversy on environmental grounds.
3. This project does not involve significant impacts on properties protected by Section 4(f) of the DOT Act or Section 106 of the National Historic Preservation Act.
4. This project is not inconsistent with any federal, state or local law or administrative determination relating to the environmental aspects of the action.

Based on the Preliminary Environmental Study and supporting information attached, it is recommended that this project is a Categorical Exclusion

Signature - local agency_____
Date**PROGRAMMATIC CATEGORICAL EXCLUSION DETERMINATION**

Based on an examination of the proposal, Preliminary Environmental Study (PES) form, and supporting information, it is determined that all conditions of the following Programmatic Categorical Exclusion have been satisfied:

____ February 5, 1990, Seismic Safety Project
____ September 7, 1990, Individual Impact-Based Project_____
Signature - Caltrans District Local Assistance Engineer_____
Date**CATEGORICAL EXCLUSION DETERMINATION**

Based on the Preliminary Environmental Study and supporting information, this project meets the criteria for a Categorical Exclusion, Class II action as described in 23 CFR 771.117.

Signature - Caltrans District Local Assistance Engineer_____
Date

Approval:

Signature - FHWA Transportation Engineer_____
Date